

Attorney's Docket No. 2001US307

1752

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Takanori Kudo et al

Serial No.: 09/966,958

Group Art Unit: 1752

Filed: September 28, 2001

Examiner: UNKNOWN

For: NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION

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APR 14 2003

Assistant Commissioner for Patents
Washington, D.C. 20231

TC 1700

INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 CFR 1.97(c))

Sir:

1. IDENTIFICATION OF TIME OF FILING INFORMATION DISCLOSURE
STATEMENT

The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurs last but before the mailing date of either: (1) a final action under § 1.113 or (2) a notice of allowance under § 1.311, whichever occurs first.

2. CERTIFICATION OR FEE

☐ Certification as specified in 37 CFR 1.97(e)

☒ I hereby certify that each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

☐ I hereby certify that no item of information contained in this information disclosure statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this information disclosure statement.

OR

FEE

- ☐ The fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under § 1.97(c). (\$240.00)
- ☐ Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under § 1.97(c). (\$240.00)

Fee due _____

☐ METHOD OF PAYMENT OF FEE

Please charge deposit account no. 03-2060 in the amount of \$180.00. A duplicate of this request is attached. If any additional fees are due, please charge deposit account no. 03-2060.

3. PRELIMINARY STATEMENTS

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

4. COMPLETED FORM PTO-1449 IS ATTACHED.

5. IDENTIFICATION OF PRIOR APPLICATION IN WHICH LISTED INFORMATION WAS ALREADY CITED AND FOR WHICH NO COPIES ARE SUBMITTED OR NEED BE SUBMITTED

☐ This application relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. _____, filed on _____.

_____ The following references were submitted to and/or cited by the Office in this prior application, and therefore, are not required to be provided in this application.

6. COPIES OF LISTED INFORMATION ITEMS ACCOMPANYING THIS STATEMENT

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in No. 5 above.

7. TRANSLATION(S) OF NON-ENGLISH LANGUAGE DOCUMENTS

- [] Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:
- [] No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except those listed above.
- [] The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

8. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION
DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,



Sangya Jain, Senior Patent Agent
(Reg. No. 38,504)
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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
2001US307

In Re Application Of: **Ping-Hung Lu et al**

Serial No. **APR 11 2003**
09/966,958

Filing Date
September 28, 2001

Examiner
UNKNOWN

Group Art Unit
1752

Title: **NEGATIVE DEVELOPING AQUEOUS PHOTORESIST COMPOSITION**

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37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
2001US307

In Re Application of: **Ping-Hung Lu et al**

Serial No.
09/966,958

APR 11 2003

Filing Date
September 28, 2001

Examiner
UNKNOWN

Group Art Unit
1752

Title: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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Sangya Jain, Reg. No. 38,504
Clariant Corporation
70 Meister Avenue
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telephone (908) 429-3536

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on **April 4, 2003** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.


Signature of Person Mailing Correspondence

Vivian Austin

Typed or Printed Name of Person Mailing Correspondence

Dated: April 4, 2003

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)Applicant(s): **Ping-Hung Lu et al**

Docket No.

2002US307

Serial No.

09/966,958

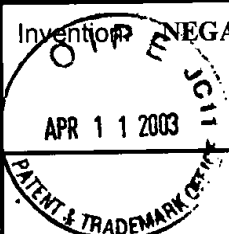
Filing Date

September 28, 2001

Examiner

UNKNOWN

Group Art Unit

1752Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**APR 11 2003**RECEIVED****APR 14 2003****TC 1700**I hereby certify that this **INFORMATION DISCLOSURE CITATION**
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CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): Ping-Hung Lu et al

Docket No.

2002US307

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Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

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